

APPLICATION  
FOR  
UNITED STATES LETTERS PATENT  
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PATENT APPLICATION  
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SPECIFICATION

TO ALL WHOM IT MAY CONCERN:

Be it known that Parviz Tayebati of 38 Winsor Way, Weston, MA 02493, Kevin McCallion of 21 Charles Street, Charlestown, MA 02129, and Duncan Walker of 28 Sycamore Street, #3, Somerville, MA 02145 have invented certain improvements in OPTICAL BEAM STEERING FOR TUNABLE LASER APPLICATIONS, of which the following description is a specification.

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## OPTICAL BEAM STEERING FOR TUNABLE LASER APPLICATIONS

### Reference To Pending Prior Patent Applications

This patent application claims benefit of:

5           (1) pending prior U.S. Provisional Patent Application Serial No.  
60/449,917, filed 02/25/2003 by Kevin McCallion et al. for OPTICAL BEAM  
STEERING FOR TUNABLE LASER APPLICATIONS (Attorney's Docket No.  
TAYE-5 PROV); and

10           (2) pending prior U.S. Provisional Patent Application Serial No.  
60/463,063, filed 04/15/2003 by Parviz Tayebati et al. for OPTICAL BEAM  
STEERING FOR TUNABLE LASER APPLICATIONS (Attorney's Docket No.  
TAYE-9 PROV).

The two aforementioned patent applications are hereby incorporated  
herein by reference.

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### Field Of The Invention

This invention has applications in telecommunications and spectroscopy.

### Background Of The Invention

20           The emergence of DWDM technology as a viable solution to bandwidth  
bottlenecks in current and future optical networks has generated a need for

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spectrally tunable optical components. In particular, tunable laser sources that can be deployed along with high speed, intensity modulator components are required. Several different technologies and approaches have been adopted in an effort to provide a low-cost, high performance, tunable laser sources that meet the specifications called for by today's network operators.

A number of tunable laser implementations make use of micro-electro-mechanical systems (MEMS) for their successful operation. These include ECLs and DFB arrays where a mechanical adjustment allows selection of the desired laser wavelength. The DFB array approach has particular attractions in that well-understood, reliable DFB laser technology is used, albeit in array form. In this implementation, up to 12 DFBs are fabricated on the same chip with a separation of around 10 $\mu$ m between adjacent lasers. The center wavelength, at fixed temperature, is offset by approximately 3nm between adjacent lasers and each laser can be temperature tuned to cover 3nm. Thus, full C band tuning can be realized by selectively tuning the lasers within their local thermal range and switching to the adjacent laser as required.

However, the spatial offset of the individual lasers within the array makes efficient coupling to a single optical fiber difficult. A single lens can be used to collect and collimate the light from each of the DFB laser sources but the spatial offset results in a varying angle on the collimated beam. This leads to a spatial offset when the beams are focused onto a single optical fiber that is located in a

fixed position in the focal plane of a second lens. Thus, efficient coupling can only be obtained for the DFB laser at the center of the array.

The above situation can be remedied by incorporating a beam steering element in the optical path between a collimating lens and a focus lens. Typically, this could be a MEMS mirror that can be electro-statically tuned via application of a control voltage. This approach suffers from vibration issues that are known to plague MEMS type implementations.

As a result, one object of this invention is to provide a low cost, low power consumption, multiplexing solution to coupling of an array of DFB lasers (spatially and spectrally offset). The described approach removes the need for a complicated MEMS beam steering mirror and reduces sensitivity to vibration effects, etc.

#### Description Of The Invention

##### Beam Steering using Thermo-Optic Prism

As described by the present invention, a thermally tuned beam steering element can be used in the optical path. A prism fabricated from a thermo-optic material can effectively act as an optical beam steering element by controlling the temperature. This beam steering element can be incorporated into various optical subassemblies to provide improved functionality e.g. wavelength tunable lasers.

This approach allows lower cost and simpler implementation while avoiding vibration-induced detrimental effects.

More particularly, by inserting a prism into the collimated beam path, it is possible to vary the angle of the beam by changing the refractive index of the prism material. Preferably, this can be done in an isotropic fashion by using a high  $dn/dT$  material such as a crystalline semiconductor such as Silicon, Gallium Arsenide or Indium Phosphide. Silicon is particularly convenient due to its ease of processing and low optical loss in the 1550nm region when in pure, un-doped crystalline form. Fig.1 shows the beam steering function of the prism.

It can be shown that the following equation holds for the prism beam steering function:

$$\sin \theta_4 = \sin \alpha \sqrt{n^2 - \sin^2 \theta_1} - \cos \alpha \sin \theta_1$$

The above equation shows that the exit angle of the beam is dependent on the input angle, the prism angle and the refractive index of the prism material. For practical use, the refractive index can be varied via the thermo-optic effect. As an example, the graph shown in Fig.2 shows a plot of the output angle variation that can be achieved via temperature control of the prism.

Figure 2 shows that a significant amount of beam steering can be achieved for around 50°C of temperature variation. However, the beam size and shape (and aberration) is also affected by the prism and should be considered in a practical design/implementation.

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#### Beam Size & Quality

Upon passing through the prism interfaces, the beam width in the horizontal direction is magnified according to the equation below:

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$$M = \frac{\cos \theta_2}{\cos \theta_1} \frac{\cos \theta_4}{\cos \theta_3}$$

where the angles are defined as in Fig.1.

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Passing the beam through the steering prism causes aberration and beam quality degrades, leading to a reduction in fiber coupling efficiency. This problem can be avoided by passing the beam through a second “correction” prism to “undo” the aberration. This restores the original optical beam shape and quality but the beam angle variation still remains. The design of the second “correction” prism (located either before or after the diffraction grating) can be arranged that it corrects for aberration induced by the steering prism plus aberration/beam shaping induced by the grating itself.

A typical implementation uses crystalline Silicon as the prism material with anti-reflection coatings on the interacting surfaces. Temperature control of the prism is efficiently achieved by mounting the prism onto a thermally insulative base that has been patterned with a metal strip heater. A thermistor is located on the top surface of the prism to allow temperature monitoring and feedback. The power consumption can be minimized by keeping the dimensions of the prism as small as possible for the given optical beam size. Angles of incidence and exit also have an impact on possible prism dimensions.

#### Other Component Applications

Other potential component implementations can be developed based on the optical beam steering element. These include variable optical attenuators, beam shutters, tunable filters, and other external cavity laser designs (using SOA as gain medium).

#### Brief Description Of The Drawings

These and other objects and features of the present invention will be more fully disclosed or rendered obvious by the following detailed description of the preferred embodiments of the invention, which is to be considered together with the accompanying drawings wherein:

Fig. 1 is a schematic diagram of a prism beam steering element;

Fig. 2 is a graph showing temperature induced beam steering;

Fig. 3 is a schematic diagram showing a tunable laser based on a DFB array, beam steering prism and diffraction grating (transmission, reflection grating or hologram)(each DFB laser is thermally tuned over 400GHz);

5 Fig. 3A is a schematic diagram showing diffraction with a grating; and

Fig. 4 is a schematic diagram showing a tunable laser with a reflection grating.

#### Detailed Description Of The Preferred Embodiments

10 A preferred embodiment that uses the optical beam steering element is in a tunable laser design that is based on a DFB laser array.

#### Tunable Laser Implementation

15 An optical beam steering approach as applied to a tunable laser based on a DFB array is shown in Fig. 3.

The principle of operation is based on spatial multiplexing of the light emitted by each individual DFB array element (different emission wavelengths) using the diffraction grating. The grating is designed to multiplex the array elements for a set condition of wavelengths and array pitch. The function of the beam steering prism is to compensate for the shift in wavelength when each DFB array element is tuned by varying the temperature of the laser.

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From Fig. 3, the offset of the DFB array elements from the center element results in a slight beam angle after the collimation lens, with respect to the center element. Typically, for an array pitch of 10 $\mu$ m and array size of 12 DFB lasers, the elements at the extremes of the array are physically separated from the center element by 50 $\mu$ m. For an even number of elements on a 10 $\mu$ m pitch, there is a further 5 $\mu$ m offset from the spatial center of the array. Therefore, the outlying DFB elements are 55 $\mu$ m from geometrical center. If a 3mm focal length collimating lens is used, the approximate angle of the collimated beams relative to the optical axis of the lens, is given by  $\tan(\theta)=55/3000$  with  $\theta = 1.05^\circ$ . For adjacent DFB elements, the resultant angular dispersion is  $\delta\lambda/\delta\theta = 3\text{nm}/\tan^{-1}(10/3000) = 900\text{nm}/\text{rad}$ .

The DFB array is designed such that the emission wavelength of each element is offset from its nearest neighbor by 3nm. Thus, a 12 DFB array can cover a spectral range of 36nm, assuming that each individual element is capable of tuning 3nm via temperature variation. The spatial (resulting in beam angle) and spectral offset between adjacent array elements can be used to design a grating that compensates for the beam angle induced by the collimating lens.

#### Diffraction Grating Options

The invention can be implemented using a range of diffraction grating options: (1) transmission type, (2) reflection type, or (3) hologram type. Types 1

and 2 are generally surface relief style geometries. Type 3 is fabricated by inducing spatially-dependent refractive index changes within a transparent material (often a crystalline material).

The well-known equation for a grating is:

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$$m\lambda = d(\sin \alpha + \sin \beta) \quad (1)$$

where  $m$  is the diffracted order,  $\lambda$  is the incident wavelength,  $d$  is the spacing between adjacent grooves on the grating surface,  $\alpha$  is the angle of incidence and  $\beta$  is the diffracted angle.

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For the arrangement shown in Fig. 3, the incident angle is normal to the grating and the equation above collapses to:

$$m\lambda = d \sin \beta \quad (2)$$

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To perform the necessary multiplexing function required as described above, the angular dispersion of the grating should satisfy the relation below:

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$$\frac{\partial \lambda}{\partial \beta} = \frac{d}{m} \cos \beta = 900 \quad (3)$$

where units are in nm/rad

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### Transmission Grating Implementation

This matches the angular dispersion from the DFB array combined with collimating lens. Using equations (2) and (3), and a center wavelength of 1550nm, the value of  $\beta$  is calculated as  $59.9^\circ$ . i.e. the transmitted beam exits the grating at a nominal angle of  $59.9^\circ$ . The most efficient operation of the grating occurs when the refraction of the mini-prism that constitutes a groove (in the grating) lies in the same direction as the diffraction given by the grating equation. Applying Snell's Law to the interface between the groove facet and air (see Fig. 3A), the following equation holds:

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$$n \sin \theta = \sin(\theta + \beta) \quad (4)$$

where  $n$  is the refractive index of the grating material.

Combining the grating equation and Snell's law provides the relationship between the blaze angle  $\beta_B$  and the groove angle  $\theta$ :

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$$\tan \theta = \frac{\sin \beta_B}{n - \cos \beta_B} \quad (5)$$

The transmission grating design for the preferred embodiment can be derived from the above equations.

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#### Reflection Grating Implementation

Fig. 4 shows the invention implemented with a reflection-style diffraction grating. For this implementation, a typical geometry could use an angle of incidence of 30° to the grating with a diffracted angle of around 68.5°. Beam aberration can be corrected with a prism prior to coupling to optical fiber.

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#### Holographic Grating Implementation.

The invention could also be implemented using a holographically written (formed) grating with a similar geometry to the transmission grating described above.

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#### Modifications Of The Preferred Embodiments

A modification to the preferred embodiment uses an optical beam steering prism alone (with no grating component) to compensate for spatial/spectral offset of two or more DFB array elements. In this case, the prism beam steering element

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is required to compensate for angular deviation of  $0.2^\circ$  per DFB array element. Multiplexing of up to 3 array elements should be possible with a reasonable amount of electrical power consumption for the heater and no significant degradation in coupling efficiency. This assumes that the effect of refractive index dispersion of Silicon is negligible.

Alternative tuning mechanisms: In addition to thermo-optical effects which steers the direction of the beam of light we also claim the use of prisms made of electro-optic and magneto-optic materials to achieve the same. In electro-optic approach an electrical voltage could be applied to the prism (made out of materials such as  $\text{LiNbO}_3$ ,  $\text{Sr}_x\text{Ba}_{1-x}\text{Nb}_2\text{O}_3$  (SBN:x) etc. The voltage can be applied to any two surfaces to induce an electro-optic index change. Similarly the prism may be made of magneto-optic materials whose effective index of refraction could be changed by applying a magnetic field to the material via a coil adjacent to the prism.

#### Advantages Of The Invention

Numerous advantages of the present invention will be apparent to those skilled in the art. Among other things, the advantages of the invention include low cost, simple implementation, beam steering with no moving parts, low power consumption (related to prism size, material, etc.). These advantages lead to cost

savings and performance enhancement in tunable laser systems based around the prism optical beam steering element.